

INVOICE NO: 145132167809



RECEIVED JUL 13 2007 INVOICE

5950 Sixth Avenue South  
Suite 204  
Seattle, WA 98108 United States  
Phone: 1-206-762-6200  
Fax : 1-206-762-8781

REC'D JUL 12 2007

CUSTOMER NO: 779085  
CUSTOMER TAX NO:  
CUSTOMER ADDRESS:  
AMERICAN WEST STEAMBOAT CO. LLC  
MAJESTIC AMERICA LINES  
2101 FOURTH AVENUE SUITE 1150  
SEATTLE, WA 98102 UNITED STATES

BRANCH NO: 145132  
BRANCH NAME:  
Seattle Port

CONTRACT/PO NO:  
Cris Volkle

REQUESTER NAME:  
Candy Westfall

INTERCOMPANY REF. NO:  
(ABS USE ONLY)

INVOICE DATE: 27-Jun-2007

DUE DATE: On Receipt

PAYMENT INSTRUCTIONS:  
Please provide Invoice Number or  
Remittance copy with payment.

WIRE TRANSFER:  
JP MORGAN CHASE BANK  
HOUSTON, TX 77252-8025 USA  
ABS AMERICAS  
ACCOUNT 0010-088-8180  
ABA NO. 021000021  
SWIFT ADDRESS: CHASUS33TEX

VESSEL NAME:

CLASS NO: 1753677  
PROJECT NO: 1753677  
REPORT NO: S852132  
LAST VISIT DATE: 30-May-2007  
PLACE OF SERVICE:  
Seattle, WA

ABS TAX NO:  
Federal I.D. 13-4921556

CHECKS PAYABLE TO:  
ABS AMERICAS  
P.O. BOX 201614  
HOUSTON, TX 77216-1614  
REFERENCE INVOICE NUMBER

TOTAL FEES: 546.00  
TOTAL TAX: 0.00  
TOTAL PAYABLE: 546.00  
CURRENCY: USD

ITEM	DESCRIPTION OF SERVICES / PRODUCTS PROVIDED	TAX	FEES
1	Confirmation of Compliance Management Systems (No Charge For This Task) Company _____ Department _____	0	0.00 USD
2	ISM Interim Audit Account# _____ Trip# _____ Amount _____	0	441.00 USD
3	Port Office Administration	0	50.00 USD
4	Rental Car/Parking/Tolls/Etc	0	5.00 USD
5	Transportation Approved by _____ Entered by _____ Date entered _____ Batch # _____	0	50.00 USD
TOTAL FEES:			546.00 USD
TOTAL TAX:			0.00 USD
TOTAL PAYABLE ON RECEIPT:			546.00 USD
AUTHORIZED SIGNATURE (IF REQUIRED)		PLEASE REMIT PAYMENT IN CURRENCY BILLED.	

Note - Unless otherwise mutually agreed in writing, all services, publications, and products provided and certificates issued in conjunction with this invoice are governed by the "Scope and Conditions of Classification" as contained in the entirety of Part 1 of the ABS Rules for Building and Classing Steel Vessels in effect on the issue date of this invoice, said "Scope and Conditions" are hereby incorporated by reference into this invoice as if fully set forth herein. A copy of the "Scope and Conditions of Classification", found in Part 1 of the ABS Rules for Building and Classing Steel Vessels, may be obtained at any ABS office or over the internet at [www.eagle.org](http://www.eagle.org).

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TOTAL PAYABLE: 546.00

CURRENCY: USD

ITEM	DESCRIPTION OF SERVICES / PRODUCTS PROVIDED	TAX	FEES
1	Confirmation of Compliance - Management Systems (No Charge For This Task)	0	0.00 USD
2	ISM Interim Audit	0	441.00 USD
3	Port Office Administration	0	50.00 USD
4	Rental Car/Parking/Tolls/Etc	0	5.00 USD
5	Transportation	0	50.00 USD

TOTAL FEES: 546.00 USD

TOTAL TAX: 0.00 USD

TOTAL PAYABLE ON RECEIPT: 546.00 USD

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# INTERIM DOCUMENT OF COMPLIANCE

Issued under the provisions of the INTERNATIONAL CONVENTION  
FOR THE SAFETY OF LIFE AT SEA, 1974, as amended  
under the authority of the Government of

**United States of America**

(name of state)

by the **AMERICAN BUREAU OF SHIPPING**

Name and address of the Company: **AMERICAN WEST STEAMBOAT CO. LLC**

**MAJESTIC AMERICA LINES 2101 FOURTH AVENUE SUITE 1150**

**SEATTLE WA 98102 United States**

(see paragraph 1.1.2 of the ISM Code)

**THIS IS TO CERTIFY THAT** the Safety Management System of the Company has been recognized as meeting the objectives of paragraph 1.2.3 of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code) for the type(s) of ships listed below (delete as appropriate):

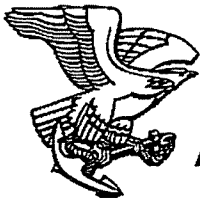
**Passenger Ship**  
~~Passenger high Speed Craft~~  
~~Cargo High Speed Craft~~  
~~Bulk Carrier~~  
~~Oil Tanker~~  
~~Chemical Tanker~~  
~~Gas Carrier~~  
~~Mobile Offshore Drilling Unit~~  
~~Other Cargo Ship~~

This Interim Document of Compliance is valid until **30 May 2008**

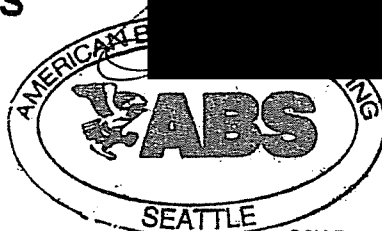
Completion date of the audit on which this certificate is based: **30 May 2007**  
(dd/mm/yyyy)

Issued at: **Seattle, WA**  
(place of issue of the document)

Date of Issue: **30 May 2007**



**ABS**



**Shull, Charles M., Seattle Port**

(Signature of the duly authorized official issuing the certificate)



# AMERICAN BUREAU OF SHIPPING STATUTORY SURVEY REPORT

Company Name	AMERICAN WEST STEAMBOAT CO. LLC	WCN Number	779085
Attending Port	Seattle, WA	Report Number	S852132
First Visit Date	30-May-2007	Last Visit Date	30-May-2007

The ABS audit team gathered objective evidence of compliance through the observation of daily activities, interviews of personnel, and the examination of pertinent records. This information was compared to the existing policies and procedure of the company and the requirements of the ISM Code to determine the levels of compliance obtained. This evidence was documented within the audit team's checklists, notes, examples, and this report. A copy of the corrective action requests(CARS) and audit observations was left with the Senior Management at the conclusion of the assessment.

## Company Details

Company Name	AMERICAN WEST STEAMBOAT CO. LLC
Company Address	MAJESTIC AMERICA LINES, 2101 FOURTH AVENUE SUITE 1150, SEATTLE, WA, United States, 98102

SOLAS Ship Types	Flag	No. of Ships
Passenger Ship	United States of America	1

ISM Ship Types	Flag	No. of Ships
Passenger Ship	United States of America	1

Report	Survey Description	Status	CARs	Observations
S852132_A	Confirmation of Compliance - Management Systems	Completed	No	No
S852132_B	ISM Interim Audit	Completed	No	No

Certificate Number	Certificate Description	Issue Date	Expiry Date	Term	Status
779085-852132-001	Document of Compliance	30-May-2007	30-May-2008	Interim	Issued

## Closing Paragraph

Approved, no corrective action request issued.

## Auditor(s)/Observer(s) to The American Bureau of Shipping

Shull Charles M., Project Lead	Electronically Signed on 27-Jun-2007
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## Reviewed By

Eilhardt, Charles M.	Electronically Signed on 27-Jun-2007, Western US District Admin
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NOTE: This report evidences that the survey reported herein was carried out in compliance with one or more of the Rules, guides, standards or other criteria of the American Bureau of Shipping and is issued solely for the use of the Bureau, its committees, its clients or other authorized entities. This Report is a representation only that the vessel, structure, item of material equipment, machinery or any other item covered by this Report has been examined for compliance with, or has met one or more of the Rules, guides, standards or other criteria of the American Bureau of Shipping. The validity, applicability and interpretation of this report is governed by the Rules and standards of American Bureau of Shipping who shall remain the sole judge thereof. Nothing contained in this Report or in any notation made in the contemplation of this Report shall be deemed to relieve any designer, builder, owner, manufacturer, seller, supplier, repairer, operator or other entity of any warranty express or implied. This audit report must be retained, by the company, for a period not less than five years and must be made available to ABS auditor(s) upon request.



# AMERICAN BUREAU OF SHIPPING STATUTORY SURVEY REPORT

Company Name	AMERICAN WEST STEAMBOAT CO. LLC	WCN Number	779085
Attending Port	Seattle, WA	Report Number	S852132
First Visit Date	30-May-2007	Last Visit Date	30-May-2007

## Assessment Remarks

Opening Meeting	30-May-2007, 09:00:00 Hrs	Last Internal Audit Date	30-May-2007
Closing Meeting	30-May-2007, 12:00:00 Hrs	Last Review of Management System	30-May-2007

**General** The Company was recently sold and new management has taken over. The Interim audit is intended to verify a minimum level of Regulatory compliance for the new Company to safely operate and to generate the required documentation for an Initial verification audit, due no sooner than 3 months and no later than 12 months from this date. The Company operates one paddle wheel passenger cruise vessel in domestic service, mostly in Alaska. The Company meets the specified requirements and was issued a 12 month Interim ISM Document of Compliance.

Policy	-
Planning	-
Significant aspects & Impacts	-
Objectives & Targets	-
Management Programs	-
Documentation	-
Implementation	-
Regulatory Compliance	-
Training & Awareness	-
Measurement & Review	-
Internal Audits	-
Management Review	-
Continual Improvement	-

## Audit Program

The assessment began with an opening meeting. The discussion covered the scope and purpose of the audit, the audit schedule and process, and the escort responsibilities. ( See attached Attendance Records.)

The audit team gathered evidence by performing the assessment in accordance with ABS procedures and as authorized under the above accredited scope. The auditors interviewed personnel at all levels of the organization ( see Audit Interviewee List), and examined pertinent records within appropriate departments in order to establish compliance with the applicable clauses of the ISM Code and / or ABS SQE Guide. The Audit Plan depicts the departments audited and clauses against which they were assessed. ( See Audit Plan)

The audit ended with closing meeting. The discussion included a review of the verification activities carried out, presentation of the corrective action requests( if any ), and review of the notable observations made during the course of the audit.

## Attachments

. Attendance List, SESC - 18	. Interviewee List, SESC - 19	. Audit Plan, SESC - 50 / SESC - 51
. Copy of Certificate (issued or endorsed)	. Branch Office Audit Reports (if Applicable)	. Auditor notes ( Internal Use Only )
. Corrective Action Plan ( if Applicable )	. STCW Checklist, SESC - 07	

## ABS Audit Opening & Closing Meetings Attendance Record

INTERVIEW

The following representatives of American West Steamboat were in attendance at the opening and closing meeting as indicated below:

Opening Meeting Time: 0900  
Closing Meeting Time: 1100

Date: 30 MAY 2007  
Date:   

	Name	Department	Opening	Closing	
1.	<u>Chris Volkle</u>	<u>Compliance - Fleet Ops</u>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<u>✓</u>
2.	<u>Nico Corbijn</u>	<u>Fleet Ops</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
3.	<u>Karen Jay Turkey</u>	<u>Director, Human Resources</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
4.	<u>Randy Burns</u>	<u>VP Marine Ops</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
5.	<u>Candy Westfall</u>	<u>Marine Operations</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
6.	<u>Kelly Gordon</u>	<u>MARINE OPS</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
7.	<u>David A. Giersdorf</u>	<u>President</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<u>✓</u>
8.			<input type="checkbox"/>	<input type="checkbox"/>	
9.			<input type="checkbox"/>	<input type="checkbox"/>	
10.			<input type="checkbox"/>	<input type="checkbox"/>	
11.			<input type="checkbox"/>	<input type="checkbox"/>	
12.			<input type="checkbox"/>	<input type="checkbox"/>	
13.			<input type="checkbox"/>	<input type="checkbox"/>	
14.			<input type="checkbox"/>	<input type="checkbox"/>	
15.			<input type="checkbox"/>	<input type="checkbox"/>	
16.			<input type="checkbox"/>	<input type="checkbox"/>	
17.			<input type="checkbox"/>	<input type="checkbox"/>	
18.			<input type="checkbox"/>	<input type="checkbox"/>	
19.			<input type="checkbox"/>	<input type="checkbox"/>	
20.			<input type="checkbox"/>	<input type="checkbox"/>	
21.			<input type="checkbox"/>	<input type="checkbox"/>	
22.			<input type="checkbox"/>	<input type="checkbox"/>	